



Receipt
#5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

) PATENT APPLICATION

Inventor(s): Brian I. Marcus
Warren S. Heit

) Art Unit: 3712

) Examiner: Not yet assigned

SC/Serial No.: 09/127,112

Filed: July 31, 1998

Title: CHARACTER RECOGNITION
EDUCATIONAL SYSTEM

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner of Patents, Washington, D.C. 20231, on August 20, 1998.

Brian I. Marcus, Reg. No. 34,511
Signature Date: August 20, 1998

(Attorney Signature)

TRANSMITTAL LETTER

Application Processing Division
Customer Service Branch
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

RECEIVED
SEP 24 1998
Group 3700

Sir:

Transmitted with this communication in connection with the above-identified application is the following:

- ☒ Request for Correction of Filing Receipt.
- ☒ Copy of Filing Receipt with correction in red.

Respectfully submitted,

Date: August 20, 1998

By: Brian I. Marcus
Brian I. Marcus
Reg. No. 34,511



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)	<u>PATENT APPLICATION</u>
)	
Inventor(s):)	Art Unit: 3712
Brian I. Marcus)	
Warren S. Heit)	Examiner: Not yet assigned
)	
SC/Serial No.:)	
09/127,112)	
)	
Filed:)	
July 31, 1998)	
)	
Title:)	
CHARACTER RECOGNITION)	
EDUCATIONAL SYSTEM)	

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Brian I. Marcus, Reg. No. 34,511
Signature Date: August 20, 1998

(Attorney Signature)

REQUEST FOR CORRECTION OF FILING RECEIPT

Application Processing Division
Customer Correction Branch
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Dear Sir/Madam:

Please make the following correction(s) to the Filing Receipt in the above-identified patent application:

In the **Applicant(s)** section, line 2: Please delete "FRACISCO" and insert --FRANCISCO-- therefor.

Please also add SMALL ENTITY status, pursuant to Verified Statement of Small Entity Status filed in parent application (SC/Serial No. 08/890,294; Filed 07/09/97).

There is no fee due with this communication.

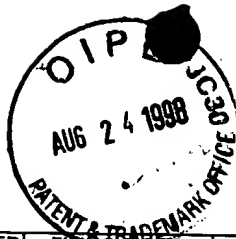
Respectfully submitted,

Date: August 20, 1998

By:

Brian I. Marcus
Reg. No. 34,511

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/127,112	07/31/98	3712	\$469.00 005		9	23	4

BRIAN I MARCUS
52 DARRELL PLACE APT 1
SAN FRANCISCO CA 94133

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

BRIAN I MARCUS, SAN FRANCISCO, CA; WARREN S HEIT,
SAN FRANCISCO, CA.
FRANCISCO

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A CON OF 08/890,294 07/09/97

FOREIGN FILING LICENSE GRANTED 08/13/98
TITLE
CHARACTER RECOGNITION EDUCATIONAL SYSTEM

SMALL ENTITY

PRELIMINARY CLASS: 434

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

PATENT APPLICATION

Inventor(s):

Brian I. Marcus
Warren S. Heit

Art Unit: 3712

Examiner: Not yet assigned

SC/Serial No.:

09/127,112

Filed:

July 31, 1998

Title:

CHARACTER RECOGNITION
EDUCATIONAL SYSTEM

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner of Patents, Washington, D.C. 20231, on August 20, 1998.

Brian I. Marcus, Reg. No. 34,511
Signature Date: August 20, 1998

(Attorney Signature)

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box MISSING PARTS

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

On August 14, 1998, a Notice to File Missing Parts of Application was mailed to applicants, apparently on the grounds that the filing fee paid with the application was insufficient.

Applicants paid \$469 with the application, which consisted of \$395.00 for the small entity basic filing fee, \$41 for the small entity fee for independent claims in excess of 3, and \$33 for the small entity fee for total claims in excess of 20. As such, applicants believe the proper filing fee was paid.

Apparently, the Notice of Missing Parts of Application was mailed on the grounds that it was the belief of the Patent Office that applicants filed as a large entity. However, in the Patent Application Transmittal Letter filed on July 31, 1998, under box 14 which refers to small entity status, applicants checked the box marked "Statement filed in prior application. Status still proper and desired". A copy of this Transmittal Letter is attached hereto as Exhibit A.

Therefore, it is respectfully submitted that applicants properly designated their small entity status with the filing of the application. As such, it is respectfully submitted that the proper filing fee has been paid.

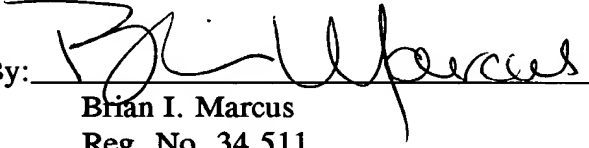
As it appears that the Notice to File Missing Parts of Application issued in error, it is respectfully submitted that no fee is required for this Response to File Missing Parts of Application.

Should further questions remain, it is respectfully requested that the undersigned be contacted at 415.362.3800.

Respectfully submitted,

Date: August 20, 1998

By: _____


Brian I. Marcus
Reg. No. 34,511



#3
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

) PATENT APPLICATIONInventor(s): Brian I. Marcus
Warren S. Heit

) Art Unit: 3712

SC/Serial No.: 09/127,112

) Examiner: Not yet assigned

Filed: July 31, 1998

Title: CHARACTER RECOGNITION
EDUCATIONAL SYSTEMCERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner of Patents, Washington, D.C. 20231, on August 20, 1998.

Brian I. Marcus
Brian I. Marcus, Reg. No. 34,511
Signature Date: August 20, 1998

(Attorney Signature)

TRANSMITTAL LETTER

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application -- Filing Date Granted, dated August 14, 1998, enclosed are the following documents in connection with the above-identified application:

- ☒ Copy of Notice to File Missing Parts -- Filing Date Granted.
- ☒ Response to Notice to File Missing Parts.
- ☒ Copy of Application Transmittal Letter.
- ☒ There is no fee believed due with this transmittal.

Respectfully submitted,

Date: August 20, 1998By: *Brian I. Marcus*

Brian I. Marcus
Reg. No. 34,511



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
0262/0814	07/31/98		005

0262/0814

BRIAN I MARCUS
52 DARRELL PLACE APT 1
SAN FRANCISCO CA 94133

NOT ASSIGNED

3712.

DATE MAILED: 08/14/98

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☐ non-small entity is \$ 395.

☒ 1. The statutory basic filing fee is:

- ☐ missing.
☒ insufficient.

Applicant must submit \$ 395 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ _____, including any multiple dependent claim fees, are required.

\$ 33 for 1 independent claims over 3.

\$ 41 for 3 dependent claims over 20.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☐ is missing or unexecuted.
☐ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

Please type a plus sign (+) inside this box → ☒



#3

PTO/SB/05 (1/99)

Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005

First Inventor or Application Identifier Brian I. Marcus

Title Character Recognition Educational System

Express Mail Label No. IB 411 521 352 US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 24]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
(Informal)
4. Oath or Declaration [Total Pages 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
 - * Small Entity ☒ Statement filed in prior application.
14. ☐ Statement(s) ☒ Status still proper and desired
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

* A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 08 / 890,294

Prior application information: Examiner Rownak, J. Group / Art Unit: 3712

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Brian I. Marcus				
Address	52 Darrell Place, Apt. 1				
City	San Francisco	State	CA	Zip Code	94133
Country		Telephone	(415) 776-4250	Fax	

Name (Print/Type)	Warren S. Heit	Registration No. (Attorney/Agent)	36,828
Signature		Date	7/31/98

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.